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3C944 U.S. PTD

PTO/SB/05 (03-01)  
Approved for use through 10/31/2002, OMB 0651-0032  
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Attorney Docket No.	H0002284
First Inventor	Gerald Eugene Tornquist
Title	Improved Rotor End Caps and a Method Of . .
Express Mail Label No.	EL645038798US

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

ADDRESS TO:	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 20]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76


7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

9. ☒ Assignment Papers (cover sheet and document(s))  
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)  
11. ☐ English Translation Document (if applicable)  
12. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS)/PTO-1449 Citations  
13. ☐ Preliminary Amendment  
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.  
17. ☒ Other: Specification Cover Sheet  
Certificate of Mailing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_  
 For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<input checked="checked" type="checkbox"/> <i>Customer Number or Bar Code Label</i>		<div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>000128</b>  <small>(Insert Customer No. or Attach bar code label here)</small> </div>		or <input type="checkbox"/> <i>Correspondence address below</i>	
<i>Name</i>					
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<i>City</i>		<i>State</i>		<i>Zip Code</i>	
<i>Country</i>		<i>Telephone</i>		<i>Fax</i>	

Name (Print/Type)	Janine Rickman Novatt	Registration No. (Attorney/Agent)	32,593
Signature		Date	11/16/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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11/16/01

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	
Filing Date	Filed concurrently herewith
First Named Inventor	Gerald Eugene Tornquist
Examiner Name	
Group Art Unit	
Attorney Docket No.	H0002284

TOTAL AMOUNT OF PAYMENT (\$948.00)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 17-0055  
 Deposit Account Name: Quarles & Brady LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	740.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$740.00)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
18	-20** =	X	0.00
5	-3** =	2 X 84	168.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$168.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40.00)

## SUBMITTED BY

Name (Print/Type)	Janine Rickman Novatt	Registration No. (Attorney/Agent)	32,593	Telephone	(602) 229-5725
Signature	Janine Rickman Novatt	Date	11/16/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**EXPRESS MAIL CERTIFICATE: EL645038798US**

I hereby certify that this correspondence listed below is being deposited with the United States Postal Service on the date set forth below as Express Mail in an envelope addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, DC, 20231.

Date of Signature  
and Deposit: 11/16/01

By: *Suzie Shields*  
(Signature of person depositing mail)

Suzie Shields

**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. 1.10**

In re Application of:

Gerald Eugene Tornquist et al.

Serial No.: To be assigned

Filed: Filed Concurrently Herewith

For: **Improved Rotor End Caps and a  
Method of Cooling a High Speed Generator**

Docket No.: H0002284

Group Art Unit:

Examiner:

Assistant Commissioner for Patents

Box Patent Application

Washington, DC, 20231

Type of Filing:

- 1) Transmittal letter
- 2) Fee Transmittal
- 3) Patent Application (20 pages plus cover sheet )
- 4) Informal drawings (7 sheets)
- 5) Executed Declaration
- 6) Executed Assignment and Recordation Cover Sheet
- 7) Executed Powers of Attorney
- 8) PTO Form 1449
- 9) Copies of IDS Citations
- 10) Return receipt postcard

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

11/28/2001 MWOLDER1 00000050 170055 09991501

01 FC:101	740.00 CH
02 FC:102	168.00 CH

PTO-1556  
(5/87)

\*U.S. GPO: 2000-468-987/39595